

**Instructions for Completing the
Annual Arbitration Annual Report**

U.S. Department of Commerce
NOAA Fisheries Service, Alaska Region
Regional Administrator
Post Office Box 21668
Juneau, Alaska 99802-1668



General Guidelines for Preparing the Annual Report

The Annual Report for 2005 is due:

August 20, 2005 for QS and PQS holders; and

15 days after the issuance of IFQ and IPQ in a crab QS fishery for IFQ and IPQ holders.

To be favorably considered, a report **must** be submitted to NMFS by that date and time; an report that is postmarked, received by facsimile or e-mail, or hand-delivered after that date and time is untimely.

- Please type or print legibly in ink, and date and sign the report.
- Retain a copy of completed report for your records.
- Mail, send by facsimile, e-mail, or hand-deliver the completed report, together with all attachments, to:

**NOAA Fisheries Service, Alaska Region
Regional Administrator, c/o Sustainable Fisheries Division
(Mail): P.O. Box 21668 ▪ Juneau, AK 99802-1668
(Hand Delivery): 709 W. 9th St., Suite 713 ▪ Juneau, AK 99801
(Facsimile): 907-586-7465
(Email): records.fakr@noaa.gov**

- **IMPORTANT:** If submitting an Annual Report via e-mail please include the following in the Subject line of the email “Annual Arbitration Report, [YEAR THAT THE REPORT IS BEING SUBMITTED], [LAST NAME OF PRIMARY CONTACT].” As an example Subject: “Annual Arbitration Report, 2005, Johnson”

Completing the Report – Step by Step

The report is divided into a series of “Blocks” (Block A through Block F).

Below, each block is explained and specific instructions for completing it are provided.

Block A – Type of Arbitration Organization

Indicate on the form the type of Arbitration Organization for which you are applying. Note that an Applicant applying for more than one type of Arbitration Organization (e.g., Affiliated QS/IFQ and PQS/IPQ) may use the same form. The terms for Arbitration QS/IFQ and Affiliated QS/IFQ are provided in our regulations at 50 CFR 680.2. The regulations are available on our website at www.fakr.noaa.gov.

Indicate the specific crab QS fisheries for which you are applying. Note that an Applicant applying for more than one type of crab QS fishery (e.g., BSS and BBR) may use the same form. The definition for the three letter codes is:

Bristol Bay red king crab - (BBR)
Bering Sea snow crab (<i>C. opilio</i>) – (BSS)
Bering Sea Tanner crab (<i>C. bairdi</i>) – (BST)
Eastern Aleutian Islands golden king crab – (EAG)
Pribilof Islands red and blue king crab – (PIK)
St. Matthew blue king crab – (SMB)
Western Aleutian Islands golden king crab (WAG)
Western Aleutian Islands red king crab (WAI)

Block B – Arbitration Organization Information

Complete all questions on the form (they are self-explanatory), and please note the following:

- If the form does not have adequate space to complete the item, please attach the information and note “See Attachment” on the form.
- Item 11: Attach only those resumes for management personnel.
- Item 12: Copies of minutes from meetings should include meetings between members that establish the formation of the Arbitration Organization, annual meetings of the members, or other meetings that address changes in the bylaws or corporate structure of the Arbitration Organization.

Block C – Amount of QS/IFQ or PQS/IPQ held by each Arbitration Organization Member

To complete this block, each member of the Arbitration should indicate the number of QS/PQS units held by that member, and/or the number of pounds of IFQ/IPQ issued to that member in each crab QS fishery for that Arbitration Organization. The three letter codes for the fisheries are defined in Block A. The

name of the member listed in this block should be the name of the individual person or entity that holds the QS/PQS or IFQ/IPQ. The member applying should use the number of QS/PQS units at the time the Arbitration Organization report is submitted. If the Arbitration Organization member who holds QS/PQS receives the IFQ/IPQ derived from that QS/PQS, then this form would not need to be amended.

If an Arbitration Organization member with IFQ/IPQ does not have QS/PQS and joins the Arbitration Organization, then that member, or personnel from the Arbitration Organization should complete this form and provide that information to NMFS as soon as that member joins the Arbitration Organization. Please note, that a person can join only one Arbitration Organization annually.

Block D – Ownership Interest of the Arbitration Organization Member Named in Block C

This block includes information necessary to determine the corporate status of the Arbitration Organization member and his or her estate.

Block E – Identification of Shareholders, Partners, Joint Ventures, Successor-in-Interests for the Arbitration Organization Member Named in Block C.

This block should include the percentage of ownership of the Arbitration Organization member in other entities that may hold QS/PQS or IFQ/IPQ. This information is required to determine the affiliation status of the Arbitration Organization member. This information should include information of the member to the best of his or her knowledge at the time the Arbitration Organization report is submitted. If additional lines are needed, please attach additional information.

Block F – List of All Arbitration Organization Members

List all members of the Arbitration Organization and date. The signature is optional, but is requested to provide additional verification of membership.

Questions

If you have questions or comments after reading this form, contact the Sustainable Fisheries Division as follows:

Telephone: 1-907-586-7228
Fax: 1-907-586-7465

Program information is also available on the web at: <http://www.fakr.noaa.gov>. Follow the links for Crab Rationalization.

Annual Arbitration Organization Report

U.S. Dept. of Commerce
NOAA Fisheries Service, Alaska Region
Regional Administrator
P.O. Box 21668
Juneau, Alaska 99802-1668



BLOCK A: TYPE OF ARBITRATION ORGANIZATION

- ☐ Arbitration QS/IFQ (for QS and IFQ holders who are not affiliated with PQS/IPQ holders)
- ☐ Affiliated QS/IFQ (for QS and IFQ holders who are affiliated with PQS/IPQ holders)
- ☐ PQS/IPQ (for Processors)

Crab QS Fishery(ies) to which this Annual Arbitration Report Applies

☐ BBR ☐ BSS ☐ BST ☐ EAG ☐ PIK ☐ SMB ☐ WAG ☐ WAI

BLOCK B: ARBITRATION ORGANIZATION INFORMATION

1. Arbitration Organization Name:		2. Name of Primary Contact	
3. Permanent Business Mailing Address:			
4. Business Telephone Number:	5. Business Fax Number:	6. Business E-mail (if available):	
7. Names and Title of Key Management Personnel (including, but not limited to, the Board of Directors, officers, representatives, and any managers).		8. Additional Contact Information (secondary contact).	
		8a. Name of Contact	
		8b. Permanent Business Mailing Address	
		8c. Business Telephone Number	
		8d. Business Fax Number	
8e. Business E-mail (if available)			
9. Is a copy of the business license for the Arbitration Organization attached ? Yes <input type="checkbox"/> No <input type="checkbox"/> [If No, this Annual Report is not complete.]		10. Are the bylaws for the Arbitration Organization attached ? Yes <input type="checkbox"/> No <input type="checkbox"/> [If No, this Annual Report is not complete.]	
11. Are the résumés of the management personnel attached? Yes <input type="checkbox"/> No <input type="checkbox"/> [If No, this Annual Report is not complete.]		12. Is a copy of any minutes of any meeting held by the Arbitration Organization or its members pertaining to the Arbitration Organization attached? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/> [If No, this Annual Report is not complete.]	

BLOCK C: AMOUNT OF QS/IFQ OR PQS/IPQ HELD BY EACH ARBITRATION ORGANIZATION MEMBER

On the matrix below, indicate the number of QS/PQS units and/or IFQ/IPQ pounds held by each member of the Arbitration Organization in each of the Crab QS Fisheries. Provide this information for each member of the Arbitration Organization on a separate sheet.

Name of Arbitration Organization Member:

	EAG	WAG	BBR	BST	BSS	SMB	PIK	WAI
CVO QS Units								
CVO IFQ Pounds								
CPO QS Units								
CPO IFQ Pounds								
CVC QS Units								
CVC IFQ Pounds								
CPC QS Units								
CPC IFQ Pounds								
PQS Units								
IPQ Pounds								

BLOCK D: OWNERSHIP INTEREST OF THE ARBITRATION ORGANIZATION MEMBER

1. Is the Arbitration Organization member a publicly held corporation? ☐ Yes ☐ No
2. a. Is the Arbitration Organization member a non-individual? ☐ Yes ☐ No
 b. If yes, is this entity still active? ☐ Yes ☐ No
3. Is this an estate that has been probated? ☐ Yes ☐ No
 If yes, on what date was probate finalized: _____

BLOCK E: IDENTIFICATION OF SHAREHOLDERS, PARTNERS, JOINT VENTURERS, SUCCESSOR-IN-INTERESTS

NOTE: If an Arbitration Organization member holds ownership interest in separate/additional corporation, partnerships, or other entities, the percentage interest that the Arbitration Organization member holds in those entities must also be listed.

1. Name of Entity	2. Percent (%) of Interest Held

BLOCK F: LIST OF ARBITRATION ORGANIZATION MEMBERS

List all members of the Arbitration Organization, provide their signature, and date.

1. Name of Arbitration Organization Member	2. Signature	3. Date

PUBLIC REPORTING BURDEN STATEMENT

Public reporting burden for this collection of information is estimated to average 4 hours per response, including time for reviewing the instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this estimated burden to Assistant Regional Administrator, Sustainable Fisheries Division, NOAA Fisheries Service (NMFS), P.O. Box 21668, Juneau, AK 99802-1668.

ADDITIONAL INFORMATION

Before completing this form, please note the following: 1) Notwithstanding any other provision of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. 2) This information is mandatory and is required to manage commercial fishing efforts under 50 CFR part 680 and under section 402(a) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*) and under 16 U.S.C. 1862(j). 3) Responses to this information request are confidential under section 402(b) of the Magnuson-Stevens Act (16 U.S.C. 1801, *et seq.*). They are also confidential under NOAA Administrative Order 216-100, which sets forth procedures to protect confidentiality of fishery statistics.
